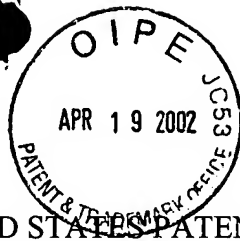


11321-P012USD5



UNITED STATES PATENT AND TRADEMARK OFFICE

1711 /
0130
04-17-02
PATENT
#5

In re Application of: Richard E. Smalley et al.

Group Art Unit: 1754

Serial No.: 10/033,050

Filed: December 28, 2001

Title: ARRAY OF SINGLE-WALL CARBON NANOTUBES

RECEIVED

APR 29 2002

TC 1700

Under 37 C.F.R. § 1.8	
I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.	
Signature	
Printed	GRACIE SEGOVIA
Date	APRIL 16, 2002

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

This Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

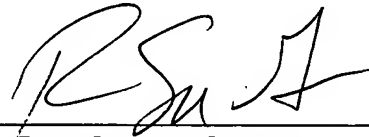
11321-P012USD5

PATENT

A copy of each of the items identified on the attached Form PTO-1449 is supplied herewith, except for the pending patent applications, for which no copies are being submitted.

Respectfully submitted,

By: _____



Ross Spencer Garsson
Reg. No. 38,150

100 Congress Avenue
Suite 800
Austin, Texas 78701
(512) 370-2870

AUSTIN_1\187660\1
11321-P012USD6 - 04/16/2002

In Place of FORM PTO-1449 (Modified)

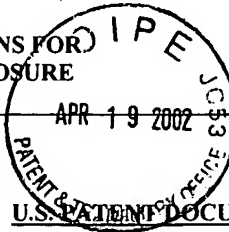
Serial No.: 10/033,050

Applicants: Richard E. Smalley et al.

Filing Date: December 28, 2001

Group: 1754

Atty. Docket No.: 11321-P012USD5

**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANTS' INFORMATION DISCLOSURE
STATEMENT****RECEIVED**

APR 29 2002

Reference Designation

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AAA						

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
ABA	EP 1 176 234 A2	12/05/1993	European			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial

- ACA LI, *et al.*, "Large-Scale Synthesis of Aligned Carbon Nanotubes," *Science*, Volume 274, December 6, 1996, pp. 1701-1703.
- ADA LIU, *et al.*, "Fullerene Pipes," *Science*, Volume 280, May 22, 1998, pp. 1253-1256.
- AEA THESS, *et al.*, "Crystalline Ropes of Metallic Carbon Nanotubes," *Science*, Volume 273, July 26, 1996, pp. 483-487.
- AFA TOHJI, *et al.*, "Purifying single-walled nanotubes," *Nature*, Volume 383, October 24, 1996, pp. 679.
- AGA TOHJI, *et al.*, "Purification Procedure for Single-Walled Nanotubes," *J. Phys. Chem. B.*, Volume 101, No. 11, 1997, pp. 1974-1978.
- AHA AJAYAN, *et al.*, "Nanometre-size tubes of carbon," *Rep. Prog. Phys.*, Volume 60, 1997, pp. 1025-1062.
- AIA FISHBINE, "Carbon Nanotube Alignment and Manipulation Using Electrostatic Fields," *Fullerene Science & Technology*, Volume 4(1), 1996, pp. 87-100.
- AJA AJAYAN, *et al.*, "Aligned Carbon Nanotube Arrays Formed by Cutting a Polymer Resin-Nanotube Composite," *Science*, Volume 265, August 26, 1994, pp. 1212-1214.
- AKA WANG, *et al.*, "Properties of Buckytubes and Derivatives," *Carbon*, Volume 33, No. 7, 1995, pp. 949-958.
- ALA SEN, *et al.*, "Structures and Images of Novel Derivatives of Carbon Nanotubes, Fullerenes and Related New Carbon Forms," *Fullerene Science and Technology*, Volume 5(3), 1997, pp. 489-502.
- AMA DRAVID, *et al.*, "Buckytubes and Derivatives: Their Growth and Implications for Buckyball Formation," *Science*, Volume 259, March 12, 1993, pp. 1601-1604.
- ANA SMALLEY, "From dopyballs to nanowires," *Materials Science and Engineering*, Volume B19, 1993, pp. 1-7.
- AOA CHEN, "Growth and Properties of Carbon Nanotubes," *Thesis for the degree Master of Science, Rice University*, Houston, Texas, May 1995.
- APA RINZLER, *et al.*, "Field Emission and Growth of Fullerene Nanotubes," *Presented at the Fall, 1994 MRS Meeting*, November 28, 1994, Boston, submitted for MRS proceedings, Volume 359.
- AQA GAMALY, *et al.*, "Mechanism of carbon nanotube formation in the arc discharge," *Physical Review B*, Volume 52, Number 3, July 15, 1995-I, pp. 2083-2089.
- ARA GE, *et al.*, "Scanning tunneling microscopy of single-shell nanotubes of carbon," *Appl. Phys. Lett.*, Volume 65(18), October 31, 1994, pp. 2284-2286.

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.